

# **Resource Conservation Funds 2007 Request for Initial Proposals**

**Agency Name:** U.S. Environmental Protection Agency, Region 9

**Funding Opportunity Name:** Request for Initial Proposals, Solid Waste Management Assistance

**Announcement Type:** Initial Announcement

**Funding Opportunity Number:** EPA-R9-WST7-07-002

**Catalog of Federal Domestic Assistance Number:** 66.808

## **Overview**

The U.S. Environmental Protection Agency Region 9 is soliciting proposals to fund projects that address solid waste reduction and management. Funds will be awarded pursuant to Section 8001 of the Resource Conservation and Recovery Act ("RCRA"), 42 U.S.C. §6981. Funding will be in the form of cooperative agreements. Funds will be awarded to applicants carrying out projects that serve the following states and territories: Arizona, California, Hawaii, Nevada, the U.S. territories in the Pacific Ocean, and the lands in Indian Country belonging to over 140 federally recognized tribes which fall under EPA Region 9's geographic area.

The aim of this funding is to support innovative ideas with the goal of fostering positive change. Projects may include studies, surveys, investigations, demonstrations, training, and public education programs. All demonstration projects must demonstrate applications, technologies, methods or approaches that are new, innovative or experimental. A project that is carried out through a routine or established practice is not a demonstration. This solicitation and additional EPA Region 9 Solid Waste and Pollution Prevention Program funding information is available on the Internet at: <http://www.epa.gov/region09/waste/solid/funding.html>

There are two options for which applicants may submit their proposals. Option One: Eligible applicants may submit projects under the general Resource Conservation Fund. Option Two: Applicants may submit projects under the Tribal Solid Waste Projects. **Only Tribes and Tribal Consortia are allowed to submit proposals under option two.** Tribal proposals received from Tribes and Tribal Consortia will automatically be submitted as Tribal Solid Waste Projects

Under this announcement, EPA anticipates awarding approximately \$200,000 in cooperative agreements this year for general Resource Conservation Funds, and approximately \$200,000 for Tribal Solid Waste projects. Region 9 anticipates awarding approximately 4 to 6 cooperative agreements and/or grants ranging in size from \$20,000 to \$100,000 for the general Resource Conservation Fund and 3 to 5 cooperative agreements ranging in size from \$20,000 to \$50,000 for Tribal Solid Waste projects.

Proposals will be accepted from States (including the District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands), Indian Tribes, interstate, intrastate and local government agencies and instrumentalities; and non-profit organizations that are not 501 (c)(4) organizations that lobby, including non-profit educational institutions, and non-profit hospitals. For-profit organizations, and individuals are not eligible to apply.

**Important Dates:**

April 18, 2007 -- Proposals must be received by 5 PM Pacific Standard Time

May 1, 2007 -- EPA notifies finalists to prepare final proposals.

May 18, 2007 -- Final proposals must be received by 5 PM Pacific Standard Time

May 30, 2007 -- Initial approvals identified and sponsors of projects selected for funding will be requested to submit a formal application package.

June 13, 2007, -- Application and workplan due

October 1, 2007 -- Awards made

The above dates (other than the April 18 and May 18, 2007, submission dates) are anticipated dates and may be subject to change.

**Contents of Full Text Announcement:**

- I. Funding opportunity description
- II. Award information
- III. Eligibility information
- IV. Application and submission information
- V. Application review information
- VI. Award administration information
- VII. Agency contacts

# **Resource Conservation Funds 2007 Request for Initial Proposals EPA-R9-WST7-07-002**

## **Full Text of Announcement**

### **I. Funding Opportunity Description**

Funds will be awarded pursuant to Section 8001 of the Resource Conservation and Recovery Act (“RCRA”), 42 U.S.C. §6981. The purpose of the Solid Waste Assistance program is to preserve and restore land by using innovative waste management practices and by reducing the risks posed by releases of harmful substances. Projects may include studies, surveys, demonstrations, training, and public education programs. All demonstration projects must demonstrate applications, technologies, methods or approaches that are new, innovative or experimental. A project that is carried out through a routine or established practice is not a demonstration.

Funds will be awarded to applicants carrying out projects that serve the following states and territories: Arizona, California, Hawaii, Nevada, the U.S. territories in the Pacific Ocean, including Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the lands in Indian Country belonging to over 140 federally recognized tribes which fall under EPA Region 9's geographic area.

This program supports EPA’s strategic goal of land preservation and restoration. The Resource Conservation Funds Region 9 priorities listed below. In addition, applicants should carefully review the evaluation criteria in Section V. of this solicitation. This funding opportunity links to EPA’s Strategic Plan through sub-objective 3.1.1: Reduce Waste Generation and Increase Recycling. For more information see: <http://www.epa.gov/ocfo/plan/2003sp.pdf>

#### **Region 9 - Resource Conservation Funds Program Priorities:**

These priorities reflect national priorities of EPA’s Resource Conservation Challenge (RCC), for more information on this program please see: <http://www.epa.gov/rcc/>.

The goal of the program is to promote recycling and solid waste reduction projects that will:

- have a significant national environmental impact; and/or
- address a significant environmental issue in an area of Region 9 with limited waste reduction activities; and/or
- foster market mechanisms or market development.

Specifically, EPA Region 9 seeks to fund proposals that fit into one or more of the following priorities:

- 1) Provide education and outreach, technical assistance or spur innovative approaches to promote:
  - green building
  - environmentally preferable purchasing, including education and labeling initiatives

2) Reduce the generation and disposal of the following materials and waste streams through reuse, recycling, composting, anaerobic digestion or market development:

- construction and demolition debris
- green waste, paper, food waste and the remaining organic portion of the waste stream

3) Promote waste reduction, recycling, or composting in underserved areas of Region 9 with low recycling rates or capacity.

EPA Region 9 will also accept applications in other areas that support resource conservation and address the evaluation criteria.

### **Environmental Results: Outputs and Outcomes:**

Pursuant to EPA Order 5700.7, “*Environmental Results under EPA Assistance Agreements*,” EPA requires that all grant and cooperative agreement recipients adequately address environmental outputs and outcomes. Outputs and outcomes differ both in their nature, and in how they are measured.

- **OUTPUTS:** The term “output” means an environmental activity, effort, and/or associated work products related to an environmental goal and objective, that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during an assistance agreement funding period.
- **OUTCOMES:** The term “outcome” means the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature, but must be quantitative. They may not necessarily be achievable within an assistance agreement funding period.

Expected outcomes from this program include, but are not limited to the following:

- increase the amount of material being recycled or composted
- measure quantitative and qualitative reductions in waste generation, use of toxics in products, or materials use in products or processes.

Anticipated outputs from this program include:

- educational and outreach materials for the public and businesses
- development of tools to increase the purchase of environmentally preferable products
- partnerships established between federal and non-federal programs to provide resource conservation and improved materials management to reduce waste disposal

To estimate the anticipated outputs and outcomes of your proposal, EPA encourages you to refer to the Measurement Fact Sheet at:

[http://www.epa.gov/region09/funding/rcra\\_measurements.html](http://www.epa.gov/region09/funding/rcra_measurements.html)

### **Region 9 Tribal Solid Waste Funds:**

Tribes and Tribal Consortia seeking funding under the Tribal Solid Funds address one or more of the following goals and priorities in their proposals:

- Promote the development of cleanup, closure, and post-closure programs for open dump waste sites on tribal lands through the development of planning documents and dumping prevention and enforcement programs. **Grant funds cannot pay for cleanup or construction costs.**
- Reduce the burning of residential waste (trash) through outreach, education, ordinance development and enforcement, provision of alternative solid waste disposal methods, or other innovative approaches.
- Conduct training, demonstrations, and public education programs related to solid and household hazardous waste management strategies, including recycling, composting, or other waste reduction programs, that are protective of human health and the environment.
- Provide seed money for projects that create innovative solutions to barriers to sustainable tribal integrated solid waste management programs, including market research or feasibility studies for recycling.
- Attend, host, or provide solid waste management training. Training could include, but is not limited to, the following: household hazardous waste management training, HAZWHOPPER training, Freon removal training, etc.

Tribes and tribal organizations in Region 9 may submit proposals for projects that meet one or more of the general Resource Conservation Funds (RCF) goals listed in the attached 2007 RCF solicitation.

Please refer to the attached 2007 Region 9 Resource Conservation Funds solicitation “General Information” and “Application and Selection Process” sections for information on award amounts, restrictions on uses of funds, and the general proposal submission process and timeline. Your organization may submit more than one proposal.

### **Environmental Results: Outputs and Outcomes**

Pursuant to EPA Order 5700.5, “*Environmental Results under EPA Assistance Agreements*,” EPA requires that all grant and cooperative agreement recipients adequately address environmental outputs and outcomes. Outputs and outcomes differ both in their nature, and in how they are measured.

- **OUTPUTS:** The term “output” means an environmental activity, effort, and/or associated work products related to an environmental goal and objective, that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during an assistance agreement funding period.

- **OUTCOMES:** The term “outcome” means the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature, but must be quantitative. They may not necessarily be achievable within an assistance agreement funding period.

Expected outcomes from this program include, but are not limited to the following:

- increase the amount of material being recycled or composted
- increased understanding of waste being generated in the community through a waste characterization study
- reduction in burning of waste through the development of waste disposal alternatives
- increased technical capacity of tribal environmental staff by attending solid waste related trainings

Anticipated outputs from this program include:

- educational and outreach materials developed for the community
- development of an integrated waste management plan
- development of a recycling feasibility study for the community

To estimate the anticipated outputs and outcomes of your proposal, EPA encourages you to refer to the Measurement Fact Sheet at:

[http://www.epa.gov/region09/funding/rcra\\_measurements.html](http://www.epa.gov/region09/funding/rcra_measurements.html)

Tribes and tribal organizations may contact Heather White at (415) 972-3384 or Caleb Shaffer at (415)972-3336.

## **Other Information**

Please refer to the Resource Conservation Funds Frequently Asked Questions at [http://www.epa.gov/region09/funding/rcra\\_faq.html](http://www.epa.gov/region09/funding/rcra_faq.html) or call (415)972-3382 for additional information and/or questions.

For examples of projects funded in past years please see:

<http://www.epa.gov/region09/waste/solid/projects/index.html>

**For additional information about measurement, please see our Measurement Fact Sheet at:**  
[http://www.epa.gov/region09/funding/rcra\\_measurements.html](http://www.epa.gov/region09/funding/rcra_measurements.html)

For other EPA funding opportunities:

<http://www.Grants.gov>

## **II. Award Information**

Under this announcement, EPA anticipates awarding approximately \$200,000 in cooperative agreements this year for general Resource Conservation Funds, and approximately \$200,000 for

Tribal Solid Waste projects. Region 9 anticipates awarding approximately 4 to 6 cooperative agreements and/or grants ranging in size from \$20,000 to \$100,000 for the general Resource Conservation Fund and 3 to 5 cooperative agreements ranging in size from \$20,000 to \$50,000 for Tribal Solid Waste projects. Funding for these projects is not guaranteed and is subject to the availability of funds. An applicant may submit more than one proposal if the proposals are for different projects.

Selected applicants may be offered funds in an amount less than the proposal requests. EPA reserves the right to partially-fund proposals by funding discrete activities, projects, or phases of proposed proposals. If EPA decides to partially fund proposals, it will do so in a manner that does not prejudice any applicants or affect the basis upon which the proposal, or portion thereof, was evaluated and selected for award, and that maintains the integrity of the competition and evaluation/selection process.

A cooperative agreement is a type of grant. Under a cooperative agreement, EPA provides financial assistance and is substantially involved in the project. While EPA's role will vary from project to project, EPA expects to have substantial technical interaction with the recipient throughout the performance of the project. For such projects, EPA may review and approve project phases, review and approve provisions within proposed subgrants and contracts, collaborate with the recipient on the scope of work and mode of operation of the project, closely monitor the recipient's performance, approve any proposed changes to work plan and/or budget, approve qualifications of key personnel, and review and comment on reports prepared under the assistance agreement.

All projects should have an anticipated start date of October 1, 2007. Proposed project periods may be up to two (2) years.

Should additional funding for awards become available, EPA may make additional awards under this announcement up to four months from the date of the original selections under this solicitation. The additional selections must be made in accordance with the terms of this announcement and EPA policy.

EPA reserves the right to reject all proposals or applications and make no awards under this announcement.

### **III. Eligibility Information**

#### **Applicant Eligibility**

Proposals will be accepted from States (including the District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, and the Northern Mariana Islands), Indian Tribes, interstate, intrastate and local government agencies and instrumentalities; and non-profit organizations that are not 501 (c)(4) organizations that lobby, including non-profit educational institutions, and non-profit hospitals. For-profit organizations and individuals are not eligible to apply.

Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that

engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

### **Threshold Eligibility**

In order to be eligible for funding consideration under this announcement, applicants must meet all of the following conditions. Failure to meet all of the threshold eligibility factors will result in disqualification of the proposal.

1. Applications/Proposals must substantially comply with the application/proposal submission instructions and requirements set forth in Section IV of this announcement or else they will be rejected. However, where a page limit is expressed in Section IV with respect to the proposal/application and/or parts of the application/proposal, pages in excess of the page limitation will not be reviewed.

2. In addition, applications/proposals must be received by the EPA, postmarked by April 18, 2007 or through [www.grants.gov](http://www.grants.gov) on or before the solicitation closing date published in Section IV of this announcement. Applications/Proposals received after the published closing date will be returned to the sender without further consideration.

3. Proposals submitted via fax or through email (this does not include proposals submitted through [grants.gov](http://grants.gov)) are NOT eligible and will not be reviewed or considered.

4. Scientific research projects are ineligible for funding.

Any proposals that do not meet the applicant or project eligibility requirements will not be reviewed or considered for funding. Applicants deemed ineligible for funding considerations as a result of the threshold eligibility review will be notified within 15 calendar days of the ineligibility determination.

The following are ineligible costs:

- purchase capital equipment (e.g., trucks, tractors, front-loaders, etc.)
- fund construction or construction planning
- acquire land or interest in land
- provide any subsidy for the price of recovered resources.

**No matching funds are required.**

## **IV. Application and Submission Information**

**General Information:** There are two options for which applicants may submit their proposals. Option One: Eligible applicants may submit projects under the general Resource Conservation Fund. Option Two: Applicants may submit projects under the Tribal Solid Waste Projects. **Only Tribes and Tribal Consortia are allowed to submit proposals under option two.** Tribal proposals received from Tribes and Tribal Consortia will automatically be submitted as Tribal



Solid Waste Projects, unless the proposal clearly states that it is being submitted under the general Resource Conservation Fund.

All proposals must be formatted for 8 1/2" x 11" paper using no smaller than 11 point font with 1" margins. A page equals one side of paper. Hard copy submissions should be submitted on recycled paper and must be double-sided to reduce waste. This proposal process involves both an initial and final proposal process.

Initial proposals are limited to 2 pages; excess pages submitted with initial proposals will not be reviewed or considered. Final proposals are limited to 15 pages; excess pages submitted with initial proposals will not be reviewed or considered. Incomplete proposals or proposals that do not substantially comply with the following format are NOT eligible and will not be reviewed or considered. Email and fax submissions are NOT eligible and will not be reviewed or considered

### **Step 1-- Contents of Initial Proposal**

**There is a 2-page limit. Please note that the information below is required no matter what the mode of submission is used, grants.gov or hardcopy**

1. Applicant's name, primary contacts, address, phone and fax numbers, and e-mail (if available).
2. Background information about lead organization, and other participants/partners. Background should focus on experience related to the project proposal and grant management abilities, programmatic capacity, and past performance managing Federal agency assistance agreements.
3. Summary of the project. In addition to describing the purpose of the project and how it will be implemented applicants must describe how the project relates to Region 9 priorities.
4. Project goals and objectives:
  - What you will achieve?
  - What the project impact will be?
  - Whom the project will benefit?
  - How you plan to determine the project's effectiveness?
  - What is your plan for tracking and measuring the project results be measured and how will that relate to environmental improvements, specifically outputs and/or outcomes as described in Section I of the announcement?
  - Does the project address the evaluation criteria in section V?
5. Project budget
  - Estimated project budget. Estimates should be made for personnel, travel, supplies, contracts, and any indirect costs.

**Initial proposals must be received by close of business (5:00 pm PST) April 18, 2007.  
Proposals must be submitted to:**

### **Step 2 - EPA Notifies Applicants Selected to Develop Final Proposals:**

After the initial proposals are ranked by EPA, we will notify selected applicants by May 1, 2007,

to prepare a final proposal. Final proposals should answer questions 1-8 listed below. Although questions 1-5 were previously answered in the initial proposals, the expanded page limit of the full proposals allows applicants to go into more detailed description. In addition, final proposals must provide a workplan of no more than 5 pages, a budget, and letters of commitment from project partners, if applicable. Final proposals have a 10 page limit not including the workplan.

1. Applicant's name, primary contacts, address, phone and fax numbers, and e-mail (if available).
2. Background information about lead organization, and other participants/partners. Background should focus on experience related to the project proposal and grant management abilities, programmatic capacity, and past performance managing Federal agency assistance agreements.
3. Summary of the project. In addition to describing the purpose of the project and how it will be implemented applicants must describe how the project relates to Region 9 priorities.
4. Project goals and objectives:
  - What you will achieve?
  - What the project impact will be?
  - Whom the project will benefit?
  - How you plan to determine the project's effectiveness?
  - How will project results be measured and how will that relate to environmental improvements, specifically outputs and/or outcomes?
5. Project budget
  - Estimated project budget. Estimates should be made for personnel, travel, supplies, contracts, and any indirect costs.
6. Past Performance: Submit a list of all EPA and other Federal agency assistance agreements that your organization performed within the last three years, and describe how you documented or reported on whether you were making progress towards achieving the expected results under those agreements. If you were not making progress, please indicate how you adequately documented why not. In evaluating applicants under this factor, EPA will consider the information provided by the applicant and may also consider other relevant information from other sources, including information from EPA files and from current and prior Federal agency grantors (e.g., to verify and/or supplement the information provided by the applicant).
7. Programmatic Capability: Submit a list of all federally funded projects similar in size, scope and relevance to the proposed project that your organization performed within the last three years. Describe how you were (i) technically able to successfully carry out the proposed projects; (ii) your history of meeting the reporting requirements under these agreements and submitting acceptable final technical reports, (iii) your organizational experience and plan for timely and successfully achieving the objectives of the proposed project, and (iv) your staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project.
8. Project Work Plan: Provide an overall schedule of the project lasting no more than twenty-four months. This is a good place to list project deliverables as they coincide with the schedule. If the project is selected for funding, EPA will help define and revise this draft work plan.

**Final proposals must be received by 5:00 p.m. PST on May 18, 2007.**

**Submission of initial and final proposals:**

Applicants may choose to apply under this announcement in *one of two ways*. If you wish to apply with a hard copy submission, please follow the instructions under “Hard Copy Submission” below. If you wish to apply electronically via Grants.gov, please follow the appropriate instructions under “Electronic Application” below. EPA encourages applicants to submit their application materials electronically through <http://www.grants.gov>. You may NOT submit a proposal using both methods. You must choose only ONE method.

Applications not selected for funding will be notified within fifteen days.

**1. Hard Copy Submissions**

Application materials submitted via mail/commercial delivery service: Initial proposals must be received by 5:00 p.m. pacific standard time **April 18, 2007**, and final proposals must be received by 5:00 p.m. pacific standard time **May 18, 2007**. Applications received after these due dates will not be considered for funding. The original and one copy of your proposal must be submitted to the address below:

Cara Peck, Resource Conservation Funds Proposals  
U.S. Environmental Protection Agency  
75 Hawthorne Street (WST-7)  
San Francisco, CA 94105

**2. Electronic Submissions**

**All applications must be electronically stamped via Grants.gov.**

Initial proposals must be electronically stamped by April 18, 5 pm PST and final proposals must be electronically stamped by May 18, 2007, 5 pm PST. Applications submitted via Grants.gov **after** this due date and time will **not** be considered for funding.

If you wish to apply electronically via Grants.gov, the electronic submission of your proposal/application must be made by an official representative of your institution who is registered with Grants.gov and authorized to sign applications for Federal assistance. For more information, go to <http://www.grants.gov> and click on “Get Registered” on the left side of the page. Note that the registration process may take a week or longer to complete. If your organization is not currently registered with Grants.gov, please encourage your office to designate an AOR and ask that individual to begin the registration process as soon as possible.

To begin the application process under this grant announcement, go to <http://www.grants.gov> and click on the “Apply for Grants” tab on the left side of the page. Then click on “Apply Step 1: Download a Grant Application Package and Instructions” to download the PureEdge viewer and obtain the application package and instructions for applying under this announcement using grants.gov. You may retrieve the application package and instructions by entering the Funding Opportunity Number, EPA-R9-WST7-07-002, or the CFDA number (CFDA 66.808), in the

space provided. Then complete and submit the application package as indicated. You may also be able to access the application package by clicking on the button “How To Apply” at the top right of the synopsis page for this announcement on <http://www.grants.gov> (to find the synopsis page , go to <http://www.grants.gov> and click on the “Find Grant Opportunities” button on the left side of the page and then go to Search Opportunities and use the Browse by Agency feature to go to EPA opportunities

Application/proposal materials submitted through grants.gov will be time/date stamped electronically.

Please be sure to view the additional instructions for applying electronically under this announcement through use of grants.gov that are available for download on Grants.gov. In addition, see attachment A for further instructions on submitting an application package through the grants.gov website.

If you have any technical difficulties while applying electronically, please refer to <http://www.grants.gov/help/help.jsp> or toll free at 1-800-518-4726.

**Intergovernmental Review:**

Applicants (except for Indian Tribes and Tribal Consortia) must comply with the Intergovernmental Review Process and/or consultation provisions of Executive Order 12372. EPA’s implementing regulations for this Executive Order can be found at 40 CFR §29.1-29.13.

**Confidential Business Information:**

It is recommended that confidential information not be included in the proposal. However, in accordance with 40 CFR 2.203, applicants may claim all or a portion of their application/proposal as confidential business information. If confidential business information is included, EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Pursuant to 40 CFR 2.203, applicants must clearly mark applications/proposals or portions of applications/proposals they claim as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c) (2) prior to disclosure.

**DUNS:** All applicants applying for funding must have a Dun and Bradstreet Universal Data Numbering System (DUNS) number. Applicants who do not already have a DUNS number may find instructions for obtaining one at the following website: <http://www.grants.gov/GetStarted>. A DUNS number may also be obtained by calling 1-866-705-5711.

**Initial Proposal/Application Communications and Assistance:**

In accordance with EPA's Competition Policy of January 11, 2005 (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. EPA Region 9 will respond to questions from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about the announcement. Applicants are responsible for the contents of their

applications.

## **V. Application Review Information**

**Only those applicants who meet the threshold criteria in section III will be evaluated based on the criteria below.**

Each eligible proposal will be evaluated by a panel of EPA staff based on the criteria set forth below, using the corresponding point values listed. Please make sure that your proposal addresses each criterion. The evaluation criteria and corresponding point values are listed below. The maximum score for initial proposals is 80 points. The maximum score for applicants selected to submit final proposals is 100 points. An EPA selection panel of EPA staff from a cross-section of programs will score each initial proposal and discuss the strengths and weaknesses of each proposal. The review team will select approximately 12 applicants to submit final proposals.

A second EPA selection panel of EPA staff from a cross-section of programs will score each final proposal and discuss the strengths and weaknesses of each proposal. The review panel will submit its finalist recommendations to the Regional selection official who will consider the review panel rankings and recommendations and in addition may consider the following factors: 1) the geographic distribution of funds, 2) the distribution across the priority funding categories (green building, environmentally preferable purchasing, anaerobic digestion, construction and demolition debris, green waste and the organic portion of the waste stream). See Section I for tribal funding priorities. Selected applicants will be notified and requested to submit a final application.

### **Evaluation Criteria**

#### ***Initial Proposals:***

Initial proposals will be reviewed by EPA using the following criteria. The maximum score for initial proposals is 80 points.

#### **1. Project Description (5 points)**

Projects will be evaluated by how clearly they describe a priority environmental problem(s) or the environmental significance of the issues involved with the project, including a clear description of goals and tasks, realistic timelines/budget).

#### **2. Project Objective/Goals (15 points)**

Describe how you intend to meet one or more of the objectives listed under the Program Goals.

#### **3. Project Benefits/Impacts (40 points)**

Describe the project benefits/impacts (e.g. how the project leverages other resources, how partnerships will be formed as a result of the project, how the project implement successful models from other areas, how the project will become self-sustaining after beyond EPA funding, etc.)

#### **4. Measurability of Project Results (20 points)**

Projects will be evaluated on their likelihood of achieving predicted environmental results, the

expected outcomes identified in Section I. In addition, they will be evaluated on their plan for tracking and measuring their progress towards achieving the expected outcomes/outputs identified in Section I of this announcement.

***Final Proposals:***

Final proposals will be reviewed by EPA using the following criteria. The maximum score for final proposals is 100 points.

**1. Project Description (5 points)**

Projects will be evaluated by how clearly they describe a priority environmental problem(s) or the environmental significance of the issues involved with the project, including a clear description of goals and tasks, realistic timelines/budget).

**2. Project Objective/Goals (15 points)**

Describe how you intend to meet one or more of the objectives listed under the Program Goals.

**3. Project Benefits/Impacts (40 points)**

Describe the project benefits/impacts (e.g., how the project leverages other resources, how partnerships will be formed as a result of the project, how the project implement successful models from other areas, how the project will become self-sustaining after beyond EPA funding, etc.)

**4. Measurability of Project Results (20 points)**

Projects will be evaluated on their likelihood of achieving predicted environmental results, the expected outcomes identified in Section I. In addition, they will be evaluated on their plan for tracking and measuring their progress towards achieving the expected outcomes/ outputs identified in Section One of this announcement.

**5. Experience with EPA and other federally-funded grant programs (10 points)**

Proposals will be evaluated based on the applicant's: (i) past performance in successfully completing federally and/or non-federally funded projects similar in size, scope and relevance to the proposed project; (ii) a history of meeting reporting requirements on prior or current assistance agreements with federal and/or non-federal organizations and submitting acceptable final technical reports; (iii) organizational experience and ability to plan for timely and successfully achieving the objectives of the project; and (iv) staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the project. In evaluating applicants under this factor, EPA will consider information provided by the applicant and may also consider information from other sources including prior grantors and agency files. Applicants with no relevant or available past performance and /or reporting history (items i and ii above) will receive a neutral score for those elements of this factor.

**6. Experience tracking environmental results (10 points)**

Applicants will be evaluated based on the extent to which they adequately documented the achievement of expected outputs and outcomes under EPA and other Federal agency assistance agreements performed within the last three years or adequately explained why the expected outputs and outcomes were not achieved. In addition, the applicant will be evaluated on previous experience gathering and interpreting environmental measures.

**VI. Award Administration Information**

**If your proposal is selected for funding, you will need to complete a formal application, including a detailed workplan, for Federal funding. An application kit containing financial and administrative forms and general information on Federal grants can be obtained at: <http://www.epa.gov/region9/funding/applying.html>.**

Receipt of an application kit is not a guarantee of funding, nor is it an authorization to begin performance on the selected project. Deadlines must be met and the application and work plan must be approved by EPA for funding to occur.

Regulations governing the award and administration of this grant program can be found at 40 CFR Part 30 (for institutions of higher learning, hospitals, and non-profit organizations) and 40 CFR Part 31 (for States, Tribes, and local governments). Regulations may be viewed at <http://www.epa.gov/ogd/grants/regulations.html>.

All costs incurred under this program must be allowable under the applicable OMB Cost Circulars. Copies of the circulars can be found at <http://www.whitehouse.gov/omb/circulars>. In accordance with the EPA policy and OMB circular, any recipient of funding must agree not to use assistance funds for fund-raising, or political activities such as lobbying members of Congress or lobbying for other federal grants, cooperative agreements, or contracts. EPA grant funds may only be used for the purposes set forth in the grant agreement, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the federal government or any other government entity.

In certain circumstances costs incurred prior to the grant award may be eligible for reimbursement. However, this does not include any costs associated with responding to this solicitation or in finalizing the application package. If costs are incurred before the award, they are incurred at the applicant's or grantee's own risk.

Nonprofit applicants that are recommended for funding under this announcement may be subject to pre-award administrative capability reviews consistent with Sections 8.b, 8.c, and 9.d of EPA Order 5700.8, 'EPA Policy on Assessing Capabilities of Non-Profit Applicants for Managing Assistance Awards' which can be found at [http://www.epa.gov/ogd/grants/award/5700\\_8.pdf](http://www.epa.gov/ogd/grants/award/5700_8.pdf). Nonprofit applicants that qualify for funding may, depending on the size of the award, be required to fill out and submit to the Grants Management Office the Administrative Capability Form, with supporting documents, contained in Appendix A of EPA Order 5700.8.

Quarterly project status reports and Financial Status Reports will be required. Quarterly reports should describe project activities and provide the EPA Project Officer with information about project development. The Financial Status Report must accurately account for all federal funds expended and identify appropriate use of federal funds.

Disputes: Assistance agreement competition-related disputes will be resolved in accordance

with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at <http://a257.g.akamaitech.net/7/257/2422/01jan20051800/edocket.access.gpo.gov/2005/05-1371.htm>. Copies of these procedures may also be requested by contacting the Agency Contact listed below.

## **VII. Agency Contacts**

### **Resource Conservation Funds:**

**Cara Peck**

**Phone: (415) 972-3382**

**Fax: (415) 947-3530**

**Email: [peck.cara@epa.gov](mailto:peck.cara@epa.gov)**

### **Tribal Resource Conservation and Solid Waste Funds:**

**Heather White**

**OR**

**Caleb Shaffer**

**Phone: (415)972-3384**

**Phone: (415)972-3336**

**Fax: (415)947-3530**

**Fax: (415)947-3530**

**Email: [white.heather@epa.gov](mailto:white.heather@epa.gov)**

**Email: [shaffer.caleb@epa.gov](mailto:shaffer.caleb@epa.gov)**



## Attachment A

### Grants.gov Proposal/Application Instructions For Announcement Number EPA-R9-WST7-07-002

#### General Application Instructions

The electronic submission of your application must be made by an official representative of your institution who is registered with Grants.gov and is authorized to sign applications for Federal assistance. For more information, go to <http://www.grants.gov> and click on “Get Registered” on the left side of the page. *Note that the registration process may take a week or longer to complete.* If your organization is not currently registered with Grants.gov, please encourage your office to designate an AOR and ask that individual to begin the registration process as soon as possible.

To begin the application process under this grant announcement, go to <http://www.grants.gov> and click on the “Apply for Grants” tab on the left side of the page. Then click on “Apply Step 1: Download a Grant Application Package and Instructions” to download the PureEdge viewer and obtain the application package for the announcement. To download the PureEdge viewer click on the “PureEdge Viewer” link. Once you have downloaded the viewer, you may retrieve the application package by entering the Funding Opportunity Number, EPA-R9-WST7-07-002, or the CFDA number that applies to the announcement (CFDA 66.808), in the appropriate field. You may also be able to access the application package by clicking on the button “How To Apply” at the top right of the synopsis page for this announcement on <http://www.grants.gov> (to find the synopsis page, go to <http://www.grants.gov> and click on the “Find Grant Opportunities” button on the left side of the page and then go to Search Opportunities and use the Browse by Agency feature to find EPA opportunities).

**Initial and Final Proposal Submission Deadline:** Your organization’s AOR must submit your complete initial proposal electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than April 18, 2007, by 5:00pm PST. Your organization’s AOR must submit your complete final proposal electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than May 18, 2007, by 5:00pm PST.

Please submit *all* of the proposal/application materials described below. To view the full funding announcement, go to <http://www.epa.gov/region9/funding/rfps.html> or go to <http://www.grants.gov> and click on “Find Grant Opportunities” on the left side of the page and then click on Search Opportunities/Browse by Agency and select Environmental Protection Agency.

#### Proposal/Application Materials

**The following forms and documents are required to be submitted under this announcement:**

- I. Application for Federal Assistance (SF-424)
- II. Budget Information for Non-Construction Programs (SF-424A)
- III. Narrative Proposal/Work Plan/Project Proposal,

The proposal/application package *must* include all of the following materials:

### **I. Standard Form (SF) 424, Application for Federal Assistance**

Complete the form. There are no attachments. Please be sure to include organization fax number and email address in Block 5 of the Standard Form SF 424.

Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711.

### **II. Standard Form SF 424A – Budget Information:**

Complete the form. There are no attachments.

The total amount of federal funding requested for the project period should be shown on line 5(e) and on line 6(k) of SF-424A. If indirect costs are included, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22.

### **III. Narrative Proposal**

The document should be readable in PDF, MS Word or Word Perfect WP6/7/8 for Windows and consolidated into a single file.

## **Application Preparation and Submission Instructions**

**Documents I through III** listed under Application Materials above should appear in the “Mandatory Documents” box on the Grants.gov Grant Application Package page.

For documents I and II, click on the appropriate form and then click “Open Form” below the box. The fields that must be completed will be highlighted in yellow. Optional fields and completed fields will be displayed in white. If you enter an invalid response or incomplete information in a field, you will receive an error message. When you have finished filling out each form, click “Save.” When you return to the electronic Grant Application Package page, click on the form you just completed, and then click on the box that says, “Move Form to Submission List.” This action will move the document over to the box that says, “Mandatory Completed Documents for Submission.”

For document III, you will need to attach electronic files. Prepare your narrative proposal as described above in Section IV and save the document to your computer as an MS Word, PDF or WordPerfect file. When you are ready to attach your proposal to the application package, click

on “Project Narrative Attachment Form,” and open the form. Click “Add Mandatory Project Narrative File,” and then attach your proposal (previously saved to your computer) using the browse window that appears. You may then click “View Mandatory Project Narrative File” to view it. Enter a brief descriptive title of your project in the space beside “Mandatory Project Narrative File Filename;” the filename should be no more than 40 characters long. If there other attachments that you would like to submit to accompany your proposal, you may click “Add Optional Project Narrative File” and proceed as before. When you have finished attaching the necessary documents, click “Close Form.” When you return to the “Grant Application Package” page, select the “Project Narrative Attachment Form” and click “Move Form to Submission List.” The form should now appear in the box that says, “Mandatory Completed Documents for Submission.”

Once you have finished filling out all of the forms/attachments and they appear in one of the “Completed Documents for Submission” boxes, click the “Save” button that appears at the top of the Web page. It is suggested that you save the document a second time, using a different name, since this will make it easier to submit an amended package later if necessary. Please use the following format when saving your file: “Applicant Name – FY07 – Assoc Prog Supp – 1<sup>st</sup> Submission” or “Applicant Name – FY 07 Assoc Prog Supp – Back-up Submission.” If it becomes necessary to submit an amended package at a later date, then the name of the 2<sup>nd</sup> submission should be changed to “Applicant Name – FY07 Assoc Prog Supp – 2<sup>nd</sup> Submission.”

Once your application package has been completed and saved, send it to your AOR for submission to U.S. EPA through Grants.gov. Please advise your AOR to close all other software programs before attempting to submit the application package through Grants.gov.

In the “Application Filing Name” box, your AOR should enter your organization’s name (abbreviate where possible), the fiscal year (e.g., FY06), and the grant category (e.g., Assoc Prog Supp). The filing name should not exceed 40 characters. From the “Grant Application Package” page, your AOR may submit the application package by clicking the “Submit” button that appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the application package again. [It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.] If the AOR continues to experience submission problems, he/she may contact Grants.gov for assistance by phone at 1-800-518-4726 or email at <http://www.grants.gov/help/help.jsp> or contact Cara Peck at 415-972-3282.

Application packages submitted thru grants.gov will be time/date stamped electronically. If you have not received a confirmation of receipt from EPA (*not from grants.gov*) within 30 days of the application deadline, please contact Cara Peck, 415-972-3382. Failure to do so may result in your application not being reviewed.